



231/003  
Patent

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of:

**THOMAS KIPPS, et al.**

Serial No. 08/982,272

Filed: December 1, 1997

For: NOVEL EXPRESSION VECTORS  
CONTAINING ACCESSORY  
MOLECULE LIGAND GENES AND  
THEIR USE FOR  
IMMUNOMODULATION AND  
TREATMENT OF  
MALIGNANCIES AND  
AUTOIMMUNE DISEASE

Group Art Unit: 1642

Examiner: To be assigned

March 9, 1998

MAR 13 1998

MAR 13 1998

TRANSMITTAL LETTER

MAR 13 1998

Assistant Commissioner for Patents  
Attention: Box Missing Parts  
Washington, D.C. 20231

Sir:

Transmitted herewith for filing in the above-referenced application are the following:

- Submission of Missing Parts and Related Application Papers;

CERTIFICATE OF MAILING

I hereby certify that this paper (along with any referred to as being attached or enclosed) is being deposited with the United States Postal Service on the date shown below with sufficient postage as first class mail in an envelope addressed to the Assistant Commissioner for Patents, Washington, D.C. 20231.

March 9, 1998  
date of deposit

Jeanette M. Olivera  
name of person mailing paper

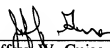
Jeanette M. Olivera  
signature of person mailing paper

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- Combined Declaration and Power of Attorney;
- Copy of Notice to File Missing Parts of Application;
- Check in the amount of \$65.00; and
- Return postcard.

Respectfully submitted,

LYON & LYON LLP

By   
Jeffrey W. Guise  
Reg. No. 34,613

First Interstate World Center  
633 West Fifth Street, 47th Floor  
Los Angeles, CA 90071-2066  
Telephone: (619) 552-8400  
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**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

Applicants: ) Group Art Unit: 1642  
)  
**THOMAS KIPPS et al.** ) Examiner: To be assigned  
)  
Serial No. 08/982,272 )  
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Filed: December 1, 1997 )  
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For: NOVEL EXPRESSION VECTORS )  
CONTAINING ACCESSORY MOLECULE )  
LIGAND GENES AND THEIR USE FOR )  
IMMUNOMODULATION AND )  
TREATMENT OF MALIGNANCIES AND )  
AUTOIMMUNE DISEASE )

**SUBMISSION OF MISSING PARTS AND RELATED APPLICATION PAPERS**

Box Missing Parts  
Assistant Commissioner for Patents  
Washington, D.C. 20231

Sir:

In response to the **NOTICE TO FILE MISSING PARTS OF APPLICATION**, which was mailed on February 20, 1998 enclosed are:

- ☒ Combined Declaration and Power of Attorney  
☐ Recordation Form Cover Sheet (Patents Only)  
☐ Assignment of the Invention to \_\_\_\_\_  
☐ A Verified Statement to establish "SMALL ENTITY STATUS" under 37 CFR 1.9(f) and 1.27(c).  
☒ Copy of Notice to File Missing Parts

**1. REQUEST FOR EXTENSION OF TIME:**

- ☐ Applicant requests an Extension of Time of \_\_\_\_ month to respond; the requisite fee has been calculated as shown below:

	Small Entity	Large Entity
<input type="checkbox"/> 1 month	\$ 55.00	\$ 110.00

**CERTIFICATE OF MAILING**

I hereby certify that this paper (along with any referred to as being attached or enclosed) is being deposited with the United States Postal Service on the date shown below with sufficient postage as first class mail in an envelope addressed to the Assistant Commissioner for Patents, Washington, D.C. 20231.

March 9, 1998  
date of deposit

Jeanette M. Olivera  
name of person mailing paper  
Jeanette M. Olivera  
signature of person mailing paper

[ ]	2 months	\$ 200.00	\$ 400.00
[ ]	3 months	\$ 475.00	\$ 950.00
[ ]	4 months	\$ 755.00	<u>\$1510.00</u>
	<b>Total Fee Due</b>	<b>\$ <u>.00</u></b>	<b>\$ <u>.00</u></b>

2. THE FILING FEE HAS BEEN CALCULATED AS SHOWN BELOW:

<b>BASIC FILING FEE</b>	\$790.00
Total Claims: <u>    </u> - (20) = <u>    </u> x \$ 22 (extra fee charge) =	\$ <u>.00</u>
Independent Claims: <u>    </u> - ( 3 ) = <u>    </u> x \$ 82 (extra fee charge)	\$ <u>00</u>
Multiple Dependent Claims <u>  1  </u> \$270 (if applicable) =	\$ <u>.00</u>
Surcharge set forth in 37 CFR 1.16(e)	\$ 130.00
<b>TOTAL OF ABOVE CALCULATIONS</b>	<b>\$ 130.00</b>
Reduction by 1/2 for Filing by <b>SMALL ENTITY</b> . Note 37 CFR 1.9, 1.27, 1.28.	
If application, Verified Statement must be attached	\$65.00
Misc. Filing Fees (Recordation of Assignment)	\$ <u>.00</u>
Extension Fee from Page 1	<u>.00</u>
<b>TOTAL FEES</b>	<b>\$65.00</b>

METHOD OF PAYMENT OF FEES

  X   A check in the amount of \$65.00  
     Charge Deposit Account No. 12-2475 in the amount of \$    . A duplicate copy of this Transmittal is enclosed.

4. AUTHORIZATION TO CHARGE FEES TO DEPOSIT ACCOUNT 12-2475

  XX   The Commissioner is authorized to charge Counsel's Deposit Account No. 12-2475 for any fees required under 37 CFR 1.16, 1.17 and 1.445 that are not covered, in whole or in part, by a check enclosed herewith and to credit any overpayments to said Deposit Account 12-2475.

Respectfully submitted,

LYON & LYON

Dated: \_\_\_\_\_

By: Jeffrey W. Quise  
 Reg. No. 34,613

First Interstate World Center  
 633 West Fifth Street, Suite 4700  
 Los Angeles, CA 90071-2066  
 (619) 552-8400



UNITED STATES DEPARTMENT OF COMMERCE  
Patent and Trademark Office  
Address: COMMISSIONER OF PATENTS AND TRADEMARKS  
Washington, D.C. 20231

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NO./TITLE
08/982,272	12/01/97	KIPPS	T 231/003

JEFFREY W GUISE  
LYON & LYON,  
633 WEST FIFTH STREET  
SUITE 4700  
LOS ANGELES CA 90071-2066

0222/0220

NOT ASSIGNED

1642

DATE MAILED:

02/20/98

**NOTICE TO FILE MISSING PARTS OF APPLICATION**  
**Filing Date Granted**

An Application Number and Filing Date have been assigned to this application. However, the items indicated below are missing. The required items and fees identified below must be timely submitted ALONG WITH THE PAYMENT OF A SURCHARGE for items 1 and 3-6 only of \$ 65.00 for a ☒ large entity ☐ small entity in compliance with 37 CFR 1.27. The surcharge is set forth in 37 CFR 1.16(e). Applicant is given TWO MONTHS FROM THE DATE OF THIS NOTICE within which to file all required items and pay any fees required above to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

**If all required items on this form are filed within the period set above, the total amount owed by applicant as a ☒ large entity ☐ small entity (verified statement filed), is \$ 65.00.**

- ☐ 1. The statutory basic filing fee is:

- ☐ missing.  
☐ insufficient.

Applicant must submit \$ \_\_\_\_\_ to complete the basic filing fee and/or file a verified small entity statement claiming such status (37 CFR 1.27).

- ☐ 2. Additional claim fees of \$ \_\_\_\_\_, including any multiple dependent claim fees, are required.

Applicant must either submit the additional claim fees or cancel additional claims for which fees are due.

- ☐ 3. The oath or declaration:

- ☐ is missing.  
☐ does not cover the newly submitted items.  
☐ does not identify the application to which it applies.  
☐ does not include the city and state or foreign country of applicant's residence.

An oath or declaration in compliance with 37 CFR 1.63, including residence information and identifying the application by the above Application Number and Filing Date is required.

- ☒ 4. The signature(s) to the oath or declaration is/are:

- ☒ missing.  
☐ by a person other than inventor or person qualified under 37 CFR 1.42, 1.43, or 1.47.

A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.

- ☐ 5. The signature of the following joint inventor(s) is missing from the oath or declaration:

An oath or declaration listing the names of all inventors and signed by the omitted inventor(s), identifying this application by the above Application Number and Filing Date, is required.

- ☐ 6. A \$ \_\_\_\_\_ processing fee is required since your check was returned without payment (37 CFR 1.21)(m).

- ☐ 7. Your filing receipt was mailed in error because your check was returned without payment.

- ☐ 8. The application does not comply with the Sequence Rules.

See attached "Notice to Comply with Sequence Rules 37 CFR 1.821-1.825."

- ☐ 9. OTHER:

Direct the response and any questions about this notice to "Attention: Box Missing Parts."

**A copy of this notice MUST be returned with the response.**

C. Moore  
Customer Service Center  
Initial Patent Examination Division (703) 308-1202